

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANTS' INFORMATION DISCLOSURE
STATEMENT

Applicants: Jan Stallact et al.

Filing Date: April 27, 1998

Group:

Atty. Docket No.: 18608-P001C1

Reference Designation

U.S. PATENT DOCUMENTS

| Examiner Initial | Document Number | Date | Name | Class | Subclass | Filing Date if Appropriate |
|------------------|-----------------|----------|------------------------|-------|----------|----------------------------|
| GC AAA | 4,412,287 | 10/25/83 | Walter D. Braddock III | 364 | 408 | |
| ABA | 4,674,044 | 06/16/87 | Kalmus et al. | 364 | 408 | |
| ACA | 5,077,665 | 12/31/91 | Silverman et al. | 364 | 408 | |
| ADA | 5,101,353 | 03/31/92 | Lupien et al. | 364 | 408 | |
| GC AEA | 5,136,501 | 08/04/92 | Silverman et al. | 364 | 408 | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner

Initial

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| GC AFA | Adams et al., "Commodity Bundling and the Burden of Monopoly," <i>The Quarterly Journal of Economics</i> Vol. XC, 475-498 (1976). |
| AGA | Brewer et al., "A Binary Conflict Ascending Price (BICAP) Mechanism for the Decentralized Allocation of the Right to Use Railroad Tracks," Social Science Working Paper 887, California Institute of Technology, Division of the Humanities and Social Sciences, Pasadena, California (February 1995). |
| GC AHA | Goodwin, Richard M., "Iteration, Automatic Computers, and Economic Dynamics," <i>Meiroeconomica</i> Vol. III, pp. 1-7, (April 1951). |
| AIA | Levin, Jonathan, "An Optimal Auction for Complements," <i>Games and Economic Behavior</i> Vol. 18, 176-192 (1997). |
| AJA | McAfee et al., "Multiproduct Monopoly, Commodity Bundling, and Correlation of Values," <i>The Quarterly Journal of Economics</i> 371-383 (May 1989). |
| AKA | Gjerstad et al., "Price Formation in Double Auctions," pp. 1-32 (April 7, 1997) |
| ALA | McAfee et al., "Analyzing the Airwaves Auction," <i>Journal of Economic Perspectives</i> Vol. 10, No. 1, 159-175 (Winter 1996). |
| AMA | Weber, Bruce W., "Transparency and Bypass in Electronic Financial Markets," Proceedings of the Twenty-Seventh Annual Hawaii International Conference on System Sciences, pp. 865-874 (1994). |
| ANA | Domowitz et al., "Auctions as algorithms," <i>Journal of Economic Dynamics and Control</i> Vol. 18, pp. 29-60 (1994). |
| AOA | Radosevich, Lynda, "Wired," <i>Webmaster</i> , pp. 26-31 (February 1997). |
| APA | Branco, Fernando, "Designing Markets: on the Use of Combinational Bids in Multi-object Auctions," pp. 1-25 (May 1997). |
| AQA | McAfee et al., "Electronic Markets" in <i>Readings in Electronic Commerce</i> , pp. 293-309 (Addison Wesley Longman, Inc. 1997). |
| ARA | Hill et al., "Equity Trading, Program Trading, Portfolio Insurance, Computer Trading and All That," <i>Financial Analysts Journal</i> , pp. 29-35 (July-August 1988). |
| GC ASA | Rubinstein, Mark, "Market Basket Alternatives," <i>Financial Analysts Journal</i> , pp. 20-29 (September-October 1989). |

F. Colbert

4-29-06

AC ATA McCabe et al., "Designing 'Smart' Computer-Assisted Markets: An Experimental Auction for Gas Networks," *Journal of Political Economy* Vol. 5, pp. 259-283 (1989).

AC AUA Rassenti et al., "A combinatorial auction mechanism for airport time slot allocation," *The Bell Journal of Economics*, Vol. 13, pp. 402-417 (1982).

AC AVA Domowitz, Ian, "The Mechanics of Automated Trade Execution Systems," *Journal of Financial Intermediation* Vol. 1, pp. 167-194 (1990).

AC AWA Rothkopf et al., "Computationally Manageable Combinatorial Auctions," pp. 1-26, Rutgers University (December 1995).

AC AXA Bikhchandani et al., "Competitive Equilibrium in an Exchange Economy with Indivisibilities," *Journal of Economic Theory* Vol. 74, pp. 385-413 (1997).

Examiner:

J. Colwell

Date Considered:

4-29-06

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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368:18608-P001C1

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U.S. PATENT DOCUMENTS

| Examiner Initial | Document Number | Date | Name | Class | Subclass | Filing Date if Appropriate |
|---------------------|--------------------|----------|--------------------|-------|----------|-------------------------------|
| AAA | 5,689,652 | 11/18/97 | Lupien et al. | 395 | 237 | |
| ABC | 5,873,071 | 02/16/99 | Ferstenberg et al. | 705 | 37 | |
| ACA | | | | | | |
| ADA | | | | | | |
| AEA | | | | | | |
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FOREIGN PATENT DOCUMENTS

| Examiner Initial | Document Number | Date | Country | Class | Subclass | Translation Yes No |
|---------------------|--------------------|------|---------|-------|----------|-----------------------|
| ANA | | | | | | |
| AOA | | | | | | |
| APA | | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner
Initial

AQA Ming Fan et al., *Creating Electronic Markets*, Dr. Dobb's Journal, November 1998, pp. 52, 54-56.
 ARA Ming Fan et al., *A Web-Based Financial Trading System*, Computer, Vol. 32, No. 4, April 1999, pp. 64-70.
 ASA R. M. Miller, *On Distributing the Intelligence of Economic Processes*, Economics and Artificial Intelligence Proceedings of the IFAC/IFORS/IFIP/IASC/AFCEC Conference, Aix-En-Provence, France, 2-4 Sept., 1986, p. 161, XP002102608.

Examiner:

Date Considered:

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 368:18608-P001C1

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PTO/SB/08A (10-96)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| | | | |
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| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Complete if Known | |
| | | Application Number | 09/067,640 |
| | | Filing Date | April 27, 1998 |
| | | First Named Inventor | Jan Stallaert |
| | | Group Art Unit | 2761 |
| | | Examiner Name | Not yet assigned |
| Sheet | 1 | of | 2 |
| | | Attorney Docket Number | 18608-P001C1 |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|--------------------------|--|--|--|--|--|
| Examiner Initials* | Cite No. ¹ | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Kind Code ² Number (if known) | | | | |
| PC | | 5,689,652 | | Lupien, et al. | 11-18-1997 | |
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| FOREIGN PATENT DOCUMENTS | | | | | | |
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| Examiner Signature | | Date Considered | 4-29-06 |
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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| | | Filing Date | April 27, 1998 | | |
| | | First Named Inventor | Jan Stallaert | | |
| | | Group Art Unit | 2761 | | |
| | | Examiner Name | Not yet assigned | | |
| | | Attorney Docket Number | 18608-P001C1 | | |
| Sheet | 2 | of | 2 | | |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|--------------------------|---|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| JL | | FAN, ET AL., Creating Electronic Markets; Dr. Dobb's Journal; November 1998; 5 pages | |
| JL | | KALAKOTA, ET AL.; Worldwide Real-Time Decision Support Systems for Electronic Commerce Applications; Journal of Organizational Computing and Electronic Commerce 6(1), 11-32 (1996); 22 pages; University of Texas; Austin, Texas | |
| JL | | R.M. MILLER; On Distributing the Intelligence of Economic Process; IFAC Economics and Artificial Intelligence; 1986; 2 pages; Aix-en-Provence, France | |
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| Examiner Signature | | Date Considered | 4-3-06 |
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